

3. SACWIS - A PROGRAM VIEW

3.1 INTRODUCTION

This chapter describes the information that SACWIS will store, process, and retrieve. First, the scope of SACWIS is defined in terms of whom it is being designed to assist. Next, the major design concepts are summarized in terms of the impact they may have on such things as timeliness, accuracy, sharing and security of the information in SACWIS. The organization and relationships of information in SACWIS are described subsequently. Following this description, some examples of output products are presented and discussed to illustrate some of the system's information retrieval capabilities. How SACWIS will process information, in terms of technical or computer processing concepts, is described in Chapter 4.

3.2 THE SCOPE OF SACWIS

SACWIS is being designed to process and control information for:

- children who are the subject of a report of child abuse or neglect and have an investigation disposition of unsubstantiated;
- children living in their own home receiving court-ordered supervision from a child welfare agency;
- children for whom parental rights and responsibilities have been affected by legal intervention and who are in out-of-home care; and
- children affected by a voluntary agreement for in-home supervision by a child welfare agency.

In addition, SACWIS's inherent flexibility and case management oriented design allows the inclusion of other service and program concepts without negating the child welfare based emphasis of the system. During the preparation of the State Survey Report, our analysis revealed that functional similarities exist in the service delivery processes of State child welfare agencies. These similarities encompass both the major events that do or may occur which impact a child, and the functional client and program oriented information that is needed by child welfare agencies. **Exhibit 3-1, Model Transaction and Case Flow**, graphically depicts major events and a generalized case flow for child welfare. Because of the similarities among State child welfare service delivery systems, the Project Team can develop the Prototype with confidence that it can be of significant value to States.

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3.3 SUMMARY OF MAJOR SACWIS CONCEPTS

If SACWIS is to assist child welfare agencies effectively, the information it processes must be up to date. At the same time, It must be possible to support analyses over time by monitoring comprehensive historical records. To be meaningful, the information in SACWIS must also be accurate. And, although general functional similarities exist in the service delivery process, it must be possible to "tailor" SACWIS to meet the needs of all potential implementing sites. All of this must be accomplished in a manner that promotes sharing of information when and where that is desirable and mutually agreeable, but, at the same time, ensures that information in SACWIS is protected from unauthorized access or release.

These requirements are achieved through the implementation of the following SACWIS concepts:

3.3.1 SACWIS Is An Event-Oriented System

In contrast to a statistical reporting system, SACWIS is an event-oriented system that can provide detailed information about activities, including answers about "when" certain activities were initiated and "how long" these activities took. Information is entered into SACWIS by authorized users as soon as an event (such as those depicted in Exhibit 3-1) is scheduled or occurs. Thus, up-to-date information about the status of specific clients, or groups of clients, can be retrieved. Event information is retained to provide SACWIS users with client-specific chronological histories and summarized to produce event-time analyses for management evaluations.

3.3.2 SACWIS Is Accuracy-Oriented

To provide accurate management reporting, SACWIS has been designed with a "bottom-up" focus. In essence, this implies a hierarchy of need fulfillment and benefit that begins with the client and worker, who will be the key provider of the information. If case managers feel that a system is helpful and supports their case management responsibilities, it is more likely that the information entered into SACWIS will be accurate and timely. Coupled with a soundly conceived, designed, and implemented SACWIS system, this means that higher level supervisory and program management needs and requirements will be met.

3.3.3 SACWIS Is Flexible

It is recognized that SACWIS must store and retrieve certain basic information in order to facilitate desired exchanges of information and to permit overall program analysis. However, if SACWIS is to be transferable, it must also provide States with options and flexibility in determining what information is maintained.

One concept for achieving flexibility involves options on whether certain files, some categories of information in these files, and certain data elements in each file are maintained in SACWIS. Other options exist in how data elements are defined, classified and coded. The concept for achieving this is based on the use of flexible data element classification structures which will be stored, maintained, and processed using SACWIS tables.

As the common denominator for information capture, data elements can be divided into two major types: free form and fixed form. Free form data elements are those for which values cannot be pre-defined; i.e., names, addresses, dates, dollar amounts, etc. Fixed form data elements are those which have had a "set" of values defined for the element. It is this set of values which are contained in user-defined tables. The use of tables allows a State to define and classify certain data elements to reflect specific information needs and existing practices, prior to system implementation.

Rules and formats for data element classifications and structures will be specified in the SACWIS Data Dictionary. Through these options, SACWIS will meet each State's specific requirements while providing all States with a common and consistent processing capability.

3.3.4 SACWIS Is Sensitive to Confidentiality of Information

The SACWIS system provides password protection with information access policies established by the State. The system's security protocol employs a user identification and a "log in" password to restrict entry and use of the system by unauthorized persons. This feature is maintained by the system administrator.

The password informs the system which of the applications and components are to be accessed by the user entering the password. All other applications and components of SACWIS are inaccessible to that user. In addition, the password informs the system as to the type of access permitted for the user. Types of access include: additions only; inquiry only; additions, inquiry

and modification; additions, inquiry, modifications and deletions; and system maintenance. The latter authorization provides access to all system functions and utilities, including additions, inquiry, modifications and deletions.

Specific assignments for the password protection scheme are defined by a State prior to the implementation of the system.

As an additional security safeguard, SACWIS case data identifiers are unique, non-information bearing codes. Although these codes are used in system processing to link or relate case data information to a specific client, the identifier codes, if printed by themselves, will not reveal the identity of a client or caseworker. However, once access is authorized via the user identifier and password, the information in the system can be shared. This includes on-line access, access to specified reporting functions, and the development of information extracts for interface to other systems.

If appropriate interagency data sharing agreements are reached, certain information can be shared. For example, information about a particular child can be shared with other human services or juvenile justice agencies where appropriate. Sharing of SACWIS program management reports would also be possible. Such interagency reports could summarize non-client specific information from various files in different agencies if appropriate interagency agreements exist.

3.3.5 SACWIS Is User-Oriented

An important criteria for successful system design and user acceptance is the ease with which users can move from process to process. SACWIS provides the capability to move between various system functions and screens through logically sequenced menus of processing functions and clearly organized windows containing case data.

Further, the system automatically carries forward repeated information from one screen to the next through the use of windows containing related case data. Thus, caseworkers are able to enter data into logically grouped forms at any point in the service process during the life of an active case.

In addition, a Windows Graphical User Interface (GUI) provides SACWIS with a friendly, easy-to-learn, easy-to-use, look and feel. Throughout the system, care is taken to not only employ all of the features of Windows, but to also provide an intuitive grasp of what tools are available in the system. Customized window headers, symbolically appropriate icons, contextual help, an appropriate use of indexing tabs, and parent-child windowing allows the user to know exactly where they are within the system, and provide quick and easy movement through the various components of SACWIS.

Navigational design has been conducted with an emphasis on direct access to all of the features and functions of the system. Avoidance of “strings” of screens which must be accessed in order (and exited in the same manner), allows the user direct access to major inquiry and data entry functions. The ability to view related records, such as Family/Client records, without a structured exit from the current screen, is also a time saving and efficient navigational method employed in the SACWIS design.

All of the components of the system are designed to provide statewide child welfare services programs the following capabilities:

- reduced clerical and paperwork requirements;
- standardized administrative and programmatic processes, ensuring that all children/families/family members receive appropriate case management services; and
- current and accurate collection, maintenance and reporting of case and resource management information.

3.4 ORGANIZATION AND RELATIONSHIPS OF SACWIS INFORMATION

SACWIS program information is processed by the seven Child Welfare Services Application components illustrated in **Exhibit 3-2, Child Welfare Services Application Components**. These components support the functions and information retrieval and reporting requirements associated with intake, diagnosis and investigation, eligibility status reviews, court interaction and judicial actions, service and treatment planning, provision of services (including placement), case review, and case termination or closure. These components focus primarily on local needs and requirements. However, they are also used to collect data which will subsequently be processed by the Program Management Application. The Program Management Application is used to process information and produce reports to support local, State and Federal managerial and administrative information needs and reporting requirements.

The discussion in this subsection focuses on the logical organization and structure of the information that SACWIS can store, process, and retrieve. The major information entities or data classes which comprise the basic building blocks for an integrated system design for SACWIS include:

Persons

A full definition of the service population is a critical component of a Statewide Automated Child Welfare Information System. It lays the foundation for the identification of attributes and characteristics which serve as a cornerstone of effective program management. In SACWIS, primary distinctions are made between children, parents, caretakers and other parties.

Each person will be recorded only once in the system, regardless of his or her involvement in other State programs, or how many child welfare service episodes they may have been involved in over time. A unique identification number will be generated for each person. As a result, SACWIS will provide a mechanism to support single source data entry, and will preclude redundant data entry efforts and updates from occurring. The amount of information stored will vary from person to person; however, the core requirements of SACWIS will be accommodated.

Family

Persons are linked together via roles and relationships into a group(s) referred to as "family". Family is a general term that cannot fully describe the complex relationships that occur in child welfare cases over time; however, it is a term that is familiar to child welfare professionals. Over the course of time, a person may be a member of multiple families, and a family may have any number of members. SACWIS will use this structure to gather data about a family which can be used for a variety of case management and reporting purposes.

The family construct represents the persons linked at any point in time that either are receiving services or have received services as a unit. Complex case counting and reporting situations between person and family cases can be supported with this approach.

Referral

Any request for service received by the CWS agency, whether from an individual or another agency is considered a "referral". A reported occurrence of child abuse, neglect and/or exploitation reported as an "incident" is a type of referral. Some referrals will be "screened out" as unfounded or inappropriate, the remainder will be "assessed" for in-person response. Allegation, responses, investigation, and disposition of information will be linked to persons and families and stored in SACWIS for monitoring, display and reporting purposes.

National Child Abuse and Neglect Data System (NCANDS) data reporting can be supported with this system capability.

Requests for service other than allegations of child abuse/neglect are also supported by this system feature.

Resource

Any entity which provides a product or service used by a person or family will be referred to as a "resource". Resource definitions will be entered according to the types defined by a State (e.g., foster homes, group homes, adoptive parents, licensed counselors, medical providers, private case managers, etc.). SACWIS will provide for the flexible addition of new resource types through its' table-driven design.

Caseload

The various types of social worker staff assigned to persons, families, referrals, and resources are addressed by this entity. This includes primary, secondary and support workers. Each worker will be recorded only once in the system.

Further analysis of these five primary entities reveal that they can be normalized into smaller, more detailed entities without the loss of information. Normalization is a method of eliminating redundancy and multiple occurrences of any data element. Therefore, redundant data, such as person and family address, can be organized into a separate entity to ensure that there is no address duplication. Additionally, classes of information which occur multiple times for an entity, such as names and services, can be broken out into separate entities which are linked back to the primary entity.

In a relational database environment, the database environment selected for SACWIS, an entity will generally become a table. Characteristics that further describe an entity (table) are called attributes (fields or columns). Because this is the initial logical database design for SACWIS, the main emphasis here is to identify the major entities and not their attributes. After confirming or adjusting our logical design with the SACWIS Technical Advisory Group (S-TAG), the Project Team will complete its identification and definition of the detailed attributes of all the SACWIS entities in our design. For example, the attributes for the person entity would include such information as date of birth, sex, and social security number.

In addition, the Project Team will establish clearly defined data integrity rules to support single-source data entry, and to ensure that the database remains accurate and consistent. The function of integrity rules is to govern the operations on the child welfare services data so that the database will accurately reflect the requirements of the State workers.

For example:

- A child cannot be placed in a non-existent foster care home.
- A referral cannot be assigned to a terminated worker.
- A person cannot be archived if they have any pending referrals.

These rules, once defined, will be enforced by the application programs in SACWIS. This will allow the system to provide immediate on-line error detection, or warning messages to alert the caseworker when invalid access (input/update) attempts are made to the database, or incomplete information has been entered, before any changes are made to data in the database.

Additionally, these rules will allow the database to support the archiving and purging of selected child welfare services records. Closed case records will remain an active part of the system, in accordance with State policies, for a period of time following the last date service is provided. SACWIS will contain an automatic archive process which will move closed case records exceeding the time frames from on-line to off-line storage, then purge the archived records from the on-line database. By purging records from the database, the caseworker will have faster response times for query requests where the entire database must be searched.

3.4.1 Logical Database Design

Logical database design is the process of identifying the data requirements for an application in order to determine what information should be held in its database, and how that data is to be represented. The requirements identified here have been developed from our analysis of the materials provided by the States whose systems we reviewed; interviews with knowledgeable Federal, State and local program staff; meetings and discussions with the SACWIS Technical Advisory Group members; and our experience in the child welfare services information systems field.

The SACWIS Logical Database Design is graphically depicted in **Exhibit 3-3, SACWIS Logical Database Diagram**. It is described in the text that follows.

Insert Exhibit 3.3 here

1. Person Entity

A Person is anyone entered into the system for whom services are provided, or who is a family or extended family member of a Person for whom services are provided, or is an alleged perpetrator in an allegation of child maltreatment. A Person is entered into the system only once. Association of the Person to other entities in the system allows each Person to reflect separate roles in numerous Cases, Families, and/or Referrals. The Person entity contains non-recurrent information, such as date of birth and sex. Users will be able to search for individuals using any of the data elements, such as name(s), address, sex, date of birth, service program, social security number, age or age range.

- 1.1 Status: The program Status for a Person which reflects the type of service being provided. This can include designations for assessment, or various types of on-going services. Person Status changes occur during a given opening or closing period for a Person registration activity. The Status tracks the registration activity of a person between different program areas and allows the system to record and store all historical Person Status information, and to display that information as of a specific date for case audit and review use.
- 1.2 Journal: A chronological recording of significant case activities or transactions. A Person may have multiple Journal records which chronologically records significant case activities or transactions. Journal storage of Event records allows access by multiple parameters for display and reporting purposes.
- 1.3 Tickler: Due or overdue activities associated with the Person. A Person may be associated with multiple Ticklers. The data is accessible by Person, Worker, supervisor, office/agency and Tickler type. Ticklers are often referred to as “Alerts”.
- 1.4 Services: History of services provided to a Person. A Person may be assigned multiple Service Plans and activities. Services records provide the system with a history of the Services provided to a Person.
- 1.5 Assessment: An evaluation of a Person's status with regard to various areas such as health, education, and mental health. Specific data elements contained within each area of Assessment will be defined at a later date in conjunction with program and technical input from States and other expert sources.
- 1.6 Case: A record of a particular service episode for a Person/Family. Multiple service episodes are possible for each entity, however, only one (1) Case may be active for an entity at any point in time.
- 1.7 Name: A Person may have multiple names including primary, A.K.A., and maiden names. This entity contains the phonetic coding which allows easier access and more accurate searches for Persons. Unlimited numbers of names/aliases are supported.
- 1.8 Number: Each of the various number types and numbers which may be associated with a Person. These can include social security number, public assistance, court, etc.. Number(s) may be used to provide pathways into other systems for the exchange of data or simple inquiry. The implementing site can define what Number types are permitted to be recorded within the record.

1.9 Adoption: Adoption specific information about a Child/Person.

1.10 Eligibility: Supports the recording of IV-E eligibility determination factors at periodic intervals in the life of the Case.

2. Referral

A Referral is an intake episode in the system. The intake may involve a report of child maltreatment, a referral from another public or private agency, or a self referred application for services. The Referral has a many to many relationship with Persons through the Person/Referral associative store. This means that a given Referral may have multiple Persons associated with it, and each of those persons may have been involved with multiple Referrals. Referral information, together with Person and other data, allows NCANDS related reporting and supports initial intake activities for a wide variety of program areas/types.

- 2.1 Allegation: Basic Allegation information for a given Person and a given Referral. Multiple allegations can occur for specific Referral activities or transactions.
- 2.2 Journal: A chronological recording of significant Referral activities or transactions. A Referral may have multiple Journal records which chronologically record significant case activities or transactions. Journal storage of Event records allows access by multiple parameters for display and reporting purposes.
- 2.3 Tickler: Due or overdue activities associated with the Referral. The Tickler (alert) function serves as a calendar of activities for the direct service worker as well as a reminder of past due activities. Ticklers may be “transferred” to different organizational levels (supervisors) based on site defined parameters.
- 2.4 X-Report: A Referral can have multiple cross reporting records. This feature supports the creation of reports to law enforcement, courts, and other mandated agencies whenever certain situations, such as the receipt of an allegation of child abuse/neglect, occur.

3. Family

A Family can be any group of Persons with some form of relationship to one another. A Family has a many to many relationship with Person through the Person/Family table. This means that a Family can be composed of multiple Persons, and any of those Persons may be a Family member of multiple Families. Each Person in the Family has a general role within the Family, such as child, parent, etc., and each Person has a separate relationship to every other person in the Family. Family make-up is not determined by the system's logic and allows the user to define relationships as they exist within that specific service unit.

- 3.1 Status: The program status for a Family which reflects the type of service being provided. This can include designations for assessment, or various types of on going services. Status values may be defined by the implementing site to reflect that organization's terminology and operating procedures.
- 3.2 Journal: A chronological recording of significant case activities or transactions.
- 3.3 Tickler: Due or overdue activities associated with the Family.
- 3.4 Service: History of services provided to a Family.
- 3.5 Assessment: An evaluation of a Family's status with regard to various areas such as housing, economics, and general functioning.
- 3.6 Case: A record of a particular service episode for a Family.
- 3.7 Number: Each of the various number types and numbers which may be associated with a Family. These can include public assistance and health insurance numbers, among others.

4. Resource

A Resource can be any service provider for whom information is maintained in the system. This includes out of home care providers such as foster parents, comprehensive service providers such as family preservation networks, or individual service providers such as therapists and counselors. Resources have a many to many relationship with Persons and Families thus one Resource may provide service to multiple Persons and Families, and one Person or Family may be associated with multiple Resources.

- 4.1 Resource Owner: The entity which oversees individual Resources. For example, a group home provider with multiple sites or the entity which operates a network of private foster homes (Resources).
- 4.2 Journal: A Chronological recording of significant case activities or transactions for that Resource.
- 4.3 Tickler: Due or overdue activities associated with the Resource.
- 4.4 Member: An individual associated with the Resource. This can include foster parents, group home staff, etc.

5. Caseload

A Caseload is a group of Persons, Families, or Referrals assigned to a case worker. The caseload is distinct from the case worker allowing multiple case workers to be assigned to a caseload over time. The caseload has a many to many relationship with Person, Families, and Referrals. This means that each Caseload may contain multiple Persons, Families, and Referrals, and each Person, Family, or Referral may be assigned to multiple Caseloads.

- 5.1 Organization: The office, sub office, etc. to which a Caseload is assigned.
- 5.2 Unit: The specific supervisory or other organizational unit to which a caseload is assigned.
- 5.3 Staff: A case worker or other staff person. Staff can be assigned to a Caseload. Staff has a many to many relationship with Caseload, thus one Caseload may have various Staff assigned over time, and one Staff may be assigned to more than one Caseload.

5.3.1 *Specialty*: Special training or capabilities possessed by a Staff person. These specialties include foreign languages, treatment specialties, etc.

5.4 Function: The Function assigned to a Caseload. Usually indicates what type of cases a Caseload can contain. It may also be used to provide an interim assignment for incoming cases such as an assignment desk function, or to provide a temporary status such as duty worker for a caseload on a particular day.

6. *Court Entity*

Courts are comprised of Divisions and Judges. The Court has a primary relationship to child welfare through “Hearings”. Hearings have a many to one relationship with the Court. This means that a Court may hold many Hearings, but a Hearing may only be held in one Court. The direct impact on child welfare services is the decision reached as a result of the Hearing.

7. *Case Plan Entity*

A Case Plan is developed for a Person or for a Family. Each Person may have many Case Plans during their involvement with CWS and many Persons will contribute to (make up) the Family Case Plan. The Person Case Plans will be aggregated upwards in order to create the Family Case Plan. The Family may have many Case Plans over time. Each Plan has a specific goal, and a set of objectives which are associated with planned services and activities that have been developed to attain the goal. The services and activities in the Family Case Plan are identified with the Person or Persons for whom the objective was developed. A plan may be developed for a Person or for a group of Persons in a Family. The Plan has a specific goal, and a set of objectives associated with planned services and activities.

8. *Associative Stores*

All of the eight series of entities or tables within this grouping provide an association between other entities and resolve many to many relationships by creating a one to many relationship.

- 8.1 Person/Referral: Supports the many to many relationship between Persons and Families. Also maintains information about the role of the Person in the specific Referral.
- 8.2 Person/Family: Supports the many to many relationship between Persons and Families. Also maintains the general role of the Person in the particular Family.
 - 8.2.1 *Person/Person*: Maintains the specific relationship of one Person to another in a specified Family.
- 8.3 Person/Resource: Supports the many to many relationship between Person and Resource and allows Persons to be connected to multiple Resources while a Resource may serve multiple Persons .
 - 8.3.1 *Category*: Specifies which of the available categories of vacancies a Person occupies for a Resource which has a vacancy control.
- 8.4 Family/Resource: Supports the many to many relationship between Resources and Families.
- 8.5 Person/Caseload: Supports the many to many relationship between Persons and Caseloads.
- 8.6 Referral/Caseload: Supports the many to many relationship between Referrals and Caseloads.
- 8.7 Family/Caseload: Supports the many to many relationship between Families and Caseloads.
- 8.8 Person/Case Plan: Links a specific Person, associated with a specific Family, to a Case Plan developed for the Family. Not all Family members must be associated with a given Case Plan.
- 8.9 Unit/Caseload: Supports the many to many relationship between Units and Caseloads allowing a Caseload to be moved between Units without losing the history of the previous assignments.
- 8.10 Staff/Caseload: Supports the many to many relationships between Staff (Primary, Secondary and Support workers) and Caseloads allowing a Caseload to be moved between Staff without losing the history of the previous assignments.
- 8.11 Hearing: Supports the many to many relationship between Persons and Courts. Also maintains the specific information concerning a hearing scheduled and/or held for a particular Person.

3.4.2 SACWIS DATA ELEMENTS

A comprehensive list of the SACWIS data elements appear in **Appendix A, SACWIS Integrated Data Set (IDS) Functional Matrices**. These matrices identify the data elements that support the SACWIS functional requirements detailed in ACF Action Transmittal No. ACF-OISM-001 issued on February 24, 1995.

The IDS Functional Matrices contain the data elements necessary to meet the AFCARS reporting requirements and to provide voluntary data through NCANDS reporting. The matrices also contain additional data elements that have been deemed useful to meet SACWIS requirements for enhanced funding and/or to provide case management support to child welfare services staff.

Data elements which are required for SACWIS funding are the following:

- AFCARS data elements;
- data elements that support an interface or integration with systems for title IV-A, NCANDS, title XIX, and title IV-D, if practicable; and
- data elements that will help States provide for more efficient, economical and effective administration of programs carried out under a State plan approved under title IV-B and title IV-E, including the collection and management of information necessary to determine eligibility, facilitate the delivery of services, the acceptance and referral of clients, client registration, and the evaluation of the need for services.

The remaining data elements support casework staff by 1) enhancing the caseworker's or supervisor's ability to develop and monitor a case plan; 2) contributing to a manager's ability to target resources; and/or 3) meeting the broader intent of SACWIS to provide tools to assist caseworkers and managers in making case related decisions.

The IDS Functional Matrices will be used as "working papers" by the Prototype Development States and the Project Team, during the Option Period, to further refine and define the information categories and data elements. In addition, the matrices are intended to stimulate interactions with regard to a more concrete definition of the additional data elements that are generally required versus those that are unique to a particular State.

Data Collection and the Case Manager

It is recognized that, at initial intake, the amount of information that the case manager is able to determine accurately may vary greatly. Therefore, the SACWIS design approach is that initial case data may be created by entering those data elements necessary to identify the child and his/her general status. Additional required or desired information can also be added at intake to the extent it is known, but it will not be mandatory. Thus, it is recognized that completion of a SACWIS case data file will occur over time as various functions are performed and as different events take place.

A basic SACWIS concept is that additional burdens should not be placed on the case manager in collecting data for SACWIS. Thus, screens used for data collection purposes will be designed to be as easy to use and as self-explanatory as possible. For example, the system will take advantage of Windows' GUI capabilities such as: pick lists, drop down value displays, and other options clearly presented on the screen.

After information is entered into the system, the caseworker will have the option of receiving a printed record. During subsequent use of the system, the caseworker will receive "prompting" messages, alerts and/or reminders of scheduled or required events and related data collection requirements.

3.5 SACWIS PRODUCTS

Perhaps the most important aspect of any system design, from the user's perspective, is the system's outputs. This portion of SACWIS is highly visible since these products will be available for use by direct services, program planning and evaluation staff, and top level agency administrators.

The SACWIS reporting structure is based on two premises:

- Each individual that inputs data may receive information in return.
- Output information can be selective in nature.

The first premise relates directly to case managers since they are responsible for the quality and integrity of the vast majority of the data collected. If SACWIS does not provide products of

benefit to these individuals, they will be less motivated to use the system. If the system does not respond to their needs, the general quality of data in SACWIS will deteriorate; this, in turn, will impact the usefulness of the information generated for supervisory, administrative and program management purposes.

The second premise relates primarily to program managers. A "selective" reporting capability is proposed -- selective in the sense that key preliminary administrative reports have been identified and are directed toward satisfying the primary information needs of management. These reports can be produced on an as-needed basis and, because of the parameterized nature of the report generation process, can be tailored or changed to meet diversified information needs.

3.5.1 How SACWIS Outputs Can Assist Case Managers and Supervisors

Case data outputs may be obtained in two different methods: on-line displays or printed hard copy. The on-line displays provide access not only to all of the data entered about the client, but also the alerts for that client. In addition to having on-line access to client information, at any time, a case manager can request the same types of data in printed format. When needed, a case manager can also obtain a listing of all of his or her clients with certain basic, pertinent data to assist him or her in evaluating the overall caseload. It is important for the case manager to remember that the confidentiality and security features regarding system access apply to both on-line and hard copy reporting capabilities. If you cannot access the data, then you cannot display or print it. Caseworkers may share their on-line displays or printed records if agreements exist permitting such sharing.

Another SACWIS concept is that the case manager should be supported and assisted through on-demand inquiries and the preparation of routine displays and/or reports. For example, it is envisioned that the system will automatically provide daily alert listings displaying the events pending for each client concerned in a pre-determined period of time, and the date that the event or action is scheduled. Examples of data for supervisory support include: an overdue action listing for all workers supervised, a display or list of all of a case manager's clients to assist a supervisor in reassigning cases due to staff turnover; and a listing of upcoming reviews within the supervisory unit.

3.5.2 How SACWIS Outputs Can Assist Program Managers

Managers and administrators are provided with two major benefits. First, they have the capability of using SACWIS to define the reports they want, to delete reports, and to change reports to make them more useful or informative. These reports can be designed and produced directly within the Program Management Application of the SACWIS system. The flexibility in creating these reports allows for comparisons over time or by differing variables.

Second, in conjunction with existing statistical processing packages, SACWIS can produce a wide variety of statistical analyses based on accurate and unduplicative counts and time frames. This feature allows managers and administrators to export data from SACWIS into more powerful packages for the types of calculations needed to perform higher level analysis of programs.

Exhibit 3-4, SACWIS Output Products, provides a sample listing of the output products that can be produced by the system. The listing groups the system's products into four major categories. Although some States will have additional and unique requirements, this structure provides a high level product overview within which details and variations can be added. Actual samples of these products will be provided in the **SACWIS Functional Requirements Specifications** to be developed during the Option Period. The sample products, or directions for their production, will be provided to assist States in formulating ideas about their own preferences for report content, organization, and presentation.

EXHIBIT 3-4

SACWIS OUTPUT PRODUCTS

Categories of Output Products

- A. State Reports
 - Statistical analysis of children in placement
 - Demographic profiles
 - Program evaluation
 - Outcome measurements
 - Productivity comparisons
 - Management indicators
- B. Federal Reports
 - AFCARS data
 - NCANDS data
 - Random Case Samples
- C. Operational Reports
 - Pre-defined documents
 - Notices
 - Alerts and ticklers
 - Over-due activities reports
 - Caseload listings
 - Analysis of caseloads
- D. Interfaces
 - Client searches of other state systems
 - Eligibility information exchange with other systems
 - Financial information to state financial system

It must be recognized, however, that output products can only be produced from that information which is maintained or generated by SACWIS. Thus, it is important for the reader to review the

suggested output products in conjunction with the SACWIS data elements shown in Appendix A.

Exhibit 3-5, Program Management Application, shows the structural organization of the SACWIS and how it supports the informational needs of the agency.